

2014

OMWBE Guidelines for CTC and Institution Reporting



Washington State Office of
**MINORITY &
WOMEN'S**
Business Enterprises

The Office of Minority and Women's Business Enterprises
OMWBE Guidelines for CTC and Institution Reporting

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Introduction

Background

The OMWBE Reporting System (ORS) was the primary tool used to monitor MWBE business participation in state procurement and public works. Full participation in ORS allowed the Office of Minority and Women's Business Enterprises (OMWBE or "the Office") to monitor state expenditures and provide feedback to the reporting agencies and educational institutions. OMWBE used the expenditure data from the agencies and institutions to prepare quarterly and year-end reports. A staff person would analyze each report manually, which was a laborious, time-consuming process.

Purpose

The purpose of this document is to provide colleges and institutions with guidance for reporting expenditures to OWMBE in a manner that allows the Office to calculate how much money each institution and college spends on contracting and procuring with certified Minority Business Enterprises (MBE), Women's Business Enterprises (WBE), and non-certified businesses.

OMWBE intends these guidelines to provide colleges and institutions with data collection and reporting standards, which would, in turn, allow OMWBE to report agency compliance with annual goals established pursuant to Chapter 39.19 RCW to the Legislature and Governor's Office.

Legal Authority

RCW 39.19.060 establishes the minority and women's business enterprise program. The statute applies to all public works and procurement, specifically chapters 28B.10, 39.04, 39.29, 43.19, 43.105, and 47.28 RCW. Pursuant to this statute, OMWBE is required to establish annual percentage goals for the participation of minority and women's businesses in public works and procurement opportunities, and to establish a system of monitoring compliance with those goals. The statute also requires each state agency to comply with the annual goals established by OMWBE.

*RCW 39.19.060 - Compliance with public works and procurement goals — Plan to maximize opportunity for minority and women-owned businesses --- Each state agency and educational institution shall comply with the annual goals established for that agency or institution under this chapter for public works and procuring goods or services. This chapter applies to all public works and procurement by state agencies and educational institutions, including all contracts and other procurement under chapters 28B.10, 39.04, *39.29, 43.19, and 47.28 RCW. Each state agency shall adopt a plan, developed in consultation with the director and the advisory committee, to insure that minority and women-owned businesses are afforded the maximum practicable opportunity to directly and meaningfully participate in the execution of public*

contracts for public works and goods and services. The plan shall include specific measures the agency will undertake to increase the participation of certified minority and women-owned businesses. The office shall annually notify the governor, the state auditor, and the joint legislative audit and review committee of all agencies and educational institutions not in compliance with this chapter.

All agencies are required by WAC 326-40-050 to make expenditure data available to OMWBE.

Expenditure Reporting - Overview

OMWBE prepares utilization reports based upon data submitted by colleges and institutions. OMWBE does not verify the correctness of any of the data elements, such as identity of payee, dollar amount, or type (assigned sub-object). This report also identifies any decertified firms during the reporting period.

These reports reflect the discretionary purchasing decisions of the agencies. Therefore, only those expenditures categorized in Agreed Sub-Object Base are calculated. The sum of the expenditures in these sub-objects constitutes the "Reporting Base" including Travel (GB and GG at 12%). Expenditure records in all other sub-objects are not part of the utilization reports. (See [Agreed Sub-Object Base](#).)

Reporting Process

Community Colleges/ CTC Reporting

Community Colleges/ CTC Reporting: The reporting process begins when State Board for Community and Technical Colleges (SBCTC) electronically reports its expenditures ("records") on behalf of the colleges. Records are reported to the SBCTC and then directly to OMWBE by providing a monthly batch report.

Universities/Institutions

Universities/Institutions: Currently report directly to OMWBE. In all instances, individual expenditures must be recorded in accordance with the format set forth in Appendix A.

Colleges/Universities do not need to identify the certification status of firms (e.g., MBE, WBE, MWBE, or CBE). OMWBE verifies the certification status of a firm with the TIN number. If the TIN numbers match, the dollar value of the record is aggregated to the report. Any record that does not include a TIN number will be disqualified.

In addition to obtaining credit for expenditures to M/WBE vendors, Colleges/Universities may also obtain credit for payments made to M/WBE travel agencies for airline tickets and to M/WBE subcontractor and supplier vendors. Colleges/Universities must manually report this expenditure data in accordance with instructions contained in Appendix A.

State Agencies

OMWBE and DES worked together to create a new Enterprise Report called the OMWBE Diverse Participation Report to replace the former ORS report. This report takes advantage of existing practices and matches data reported by state agencies to the Agency Financial Reporting System (AFRS) and OMWBE's Database of certified firms. Similar to the ORS report, agencies can select summary level data and see line item transactions. (See [OMWBE Diverse Participation Report Detail](#))

Agencies that report their expenditures correctly to AFRS will satisfy the reporting requirement.

Reporting Requirements

- Enter data in fields from left to right, i.e., the exception flag allows for two characters if an E, S, K or N applies, it should be recorded in the first field (number 47);
- Data must be saved as a TXT file.
- Must be sent by a secure transaction – FTP or emailed as an encrypted/password file;
- Will not be accepted if it does not follow the instructions/format outlined in these guidelines.

Procedures for Correcting Previously Entered Records

- You may resubmit your report with the correct data entries at any time to retrieve an updated report with corrected expenditures.

The Washington state agencies of OMWBA, DVA and DES agreed the following represents the appropriate financial expenditure sub-objects to use for calculating the base for the diverse spend and participation reports:

1. Construction and Engineering & Architectural Service
 - JE - Land
 - JF - Buildings
 - JG - Highway Construction
 - JH - Improvements Other Than Buildings (Non State Highway System)
 - JJ - Grounds Development
 - JK - Architectural and Engineering Services
 - JL - Capital Planning recommend for inclusion for subcontractors
2. Professional Services
 - CA - Management and Organizational Services
 - CB - Legal and Expert Witness Services
 - CC - Financial Services
 - CD - Computer and Information Services
 - CE - Social Research Services
 - CF - Technical Research Services
 - CG - Marketing Services
 - CH - Communication Services
 - CJ - Employee Training Services
 - CK - Recruiting Services
 - CZ - Other Personal Services; and change object title to Personal Service Contracts
3. Purchased Goods
 - EA - Supplies and Materials, FH- Raw Materials (Direct Materials)
 - JA - Non-capitalized Assets
 - JB- Non-capitalized Software
 - JC - Furnishings and Equipment
 - JM - Art Collections, Library Reserve Collections, and Museum and Historical Collections

- JQ - Software
- JZ - Other Capital Outlays

4. Purchased Services

- EB - Communications and Telecommunications Services
- EE - Repairs, Alterations, and Maintenance
- EF - Printing and Reproduction
- EH - Rentals and Leases – Furnishings and Equipment
- ER - Other Purchased Services
- ES - Vehicle Maintenance and Operating Costs; and
- EZ - Other Goods and Services
- ED - Rentals and Leases – Land and Buildings
- ET- Audit Services, EG- Employee Professional Development and Training;
- JN - Relocation Costs

Note: the following are retired codes and are excluded going forward, but are included for older fiscal year base calculations:

- EP- Insurance
- FD- Freight-In, and change the object title to Goods and Services

5. Travel

- GB - In-State Air Transportation
- GG - Out-of-State Air Transportation with the multiplier of twelve percent (12%).

6. Exceptions –Exception codes will no longer be deducted from the reporting base.

Determining Utilization

Credit is only given for payments made to minority or women business enterprises that are certified by OMWBE: The dollar amount of expenditures to MBEs and WBEs is divided by the Participation Base to obtain the utilization percentages.

Note: *Expenditures to Minority Women Business Enterprises (MWBE) are included in the MBE dollar amount and percentage.*

Accessing the Report

The report will be provided on the OMWBE website under Participation Reporting in 2014. OMWBE provides each College/University a quarterly report showing its cumulative participation base to date, amount expended and resulting M/WBE utilization percentages. A summary of this information is included in the annual report OMWBE provides to the Governor and the Legislature.

Question about accessing and using Enterprise Reporting Services can be directed to the DES Solutions Center at solutionscenter@des.wa.gov.

Questions regarding Procurement Reform or the Diverse Business Spend Report can be directed to DESProcurementReform@des.wa.gov.

Questions regarding State Board for Community and Technical Colleges (SBCTC) for data entry, control table/screen assistance or technical report assistance please post your questions on List Serv, contact the SBCTC Support Help Desk at 425-803-9721 or Email SBCTC at support@sbctc.edu

Questions regarding the companion OMWBE Diverse Participation Report and data can be directed to OMWBEWebAdmin@omwbe.wa.gov.

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Appendix A

Data Entry Instructions And Format

The following format is used by CTC and Institutions that report directly to OMWBE:

DATA TITLE	CHARACTERS	FIELDS	NOTES
Report Part (1 or 3)	1	1	1
College/University Number	4	02-05	
Firm Name	32	06-37	
Firm Fed ID (TIN) (<i>No dash</i>)	9	38-46	
Exception Flag	2	47-48	2
Sub-object	2	49-50	
Dollar Amount	15	51-65	3
Contract Number	11	66-76	
Fiscal Year	2	77-78	4
Fiscal Month	2	79-80	

Note 1: In the Report Part field, enter a "1" for expenditure, or enter a "3" for all payments made to a M/WBE certified travel agency, subcontractor, or supplier.

Note 2: Enter the appropriate Exception Code from Appendix B; i.e., "E," "S," "K" or "N" in space 47 (the first field space of the available characters).

Note 3: In accordance with WAC 326-40-060, expenditures to travel agencies are counted at only twelve (12%) percent of the dollar amount of the payment. Colleges/Universities must enter the full amount of the payment. OMWBE will calculate the adjustment so that the monthly report will reflect twelve (12%) percent of the total value in the M/WBE utilization column for Purchased Services. These payments will not be added to the Participation Base.

Note 4: OMWBE utilizes an odd year biennial calendar; as an example, OMWBE FY 13 and OMWBE FY 15 time periods are given below. Agency data submissions must use this calendar standard.

FY 13	← → July, 2011 – June, 2013	July, 2011 = Month 1	June, 2013 = Month 24
FY 15	← → July, 2013 – June, 2015	July, 2013 = Month 1	June, 2015 = Month 24



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